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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 3430.1C**

Effective Date: May  
01, 2007

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Request Notification of Change

(NASA Only)

## **Subject: NASA Employee Performance Communication System (EPCS) - Change 6 (10/29/10)**

**Responsible Office: Office of Human Capital Management**

| [TOC](#) | [ChangeLog](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) |  
[Chapter5](#) | [Chapter6](#) | [Chapter7](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

## **CHAPTER 1. Responsibility**

### **1.1 Director, Workforce Management and Development Division**

The Director, Workforce Management and Development Division, Office of Human Capital Management, is responsible for ensuring that the EPCS and these procedural requirements comply with applicable law and regulations.

### **1.2 Administrator and Deputy Administrator**

The Administrator and Deputy Administrator shall hold senior management officials accountable for ensuring that all covered employees receive timely and complete performance plans and appraisals in accordance with the requirements of this NPR.

### **1.3 Center Directors and Officials-in-Charge of Headquarters Offices (OICs):**

1.3.1 Shall establish and communicate the annual performance goals for/to their organization prior to the beginning of the appraisal period.

1.3.2 Shall communicate their organization's performance in achieving the annual performance goals prior to the end of the appraisal period and provide guidance to subordinate managers and supervisors on how the organization's performance are to be considered when assessing the performance of individual employees.

1.3.3 Must hold subordinate managers and supervisors accountable for ensuring that all

covered employees receive timely and complete performance plans and appraisals in accordance with the requirements of this NPR.

## **1.4 Center Directors and the Assistant Administrator for Infrastructure and Administration**

In addition to the responsibility identified in paragraph 1.3, Center Directors and the Assistant Administrator for Infrastructure and Administration shall, for their respective installation in accordance with the requirements of this NPR, ensure the implementation of the following:

1.4.1 Process(es) by which employee and, if applicable, customer perspectives are considered when evaluating and appraising supervisory employees.

1.4.2 Performance review process(es) (e.g., Performance Review Board) to ensure:

1.4.2.1 Fairness and consistency in the appraising and rewarding of employees.

1.4.2.2 The distribution of performance award amounts is aligned with the distribution of performance summary ratings by establishing guidelines (e.g., percentage/range of percentage of salary) for monetary performance awards applicable to Distinguished, Accomplished, and Fully Successful performance summary ratings.

## **1.5 Center Human Resources Directors:**

1.5.1 Shall determine the actual date performance appraisals are due; however, appraisals must be given to employees as soon as practicable (generally within 30 days) after the end of the appraisal period.

1.5.2 Are responsible for communicating these procedural requirements to all covered employees. This responsibility may be accomplished through a variety of means (e.g., briefings, training, Web-based information).

1.5.3 Shall certify annually to the Director, Workforce Management and Development Division, no later than November 30 or six months after the beginning of the appraisal period, that midpoint progress reviews have been held. The certifications shall identify the number of employees covered by this NPR and the percentage of those employees who received a midpoint review and describe the method used to make and support this determination.

1.5.4 On the date determined by the Director, Workforce Management and Development Division, shall report annually the process(es) used to ensure the alignment of performance award amounts to performance summary ratings and shall be able to demonstrate such alignment.

1.5.5 Shall, at a minimum and as a function of the Human Resources Office, provide guidance to Rating Officials regarding the determination of an employee's performance summary rating as Needs Improvement, the denial of a within-grade increase, and the appropriate action to take when a performance summary rating is Unacceptable.

1.5.6 Shall establish written procedures for the maintenance and retention of an Employee Performance File for each employee covered by this NPR. Maintenance of, access to, transfer of, and destruction of such files shall be in accordance with this NPR, NASA Privacy Policy, the Office of Personnel Management's (OPM) Government-wide

system of records' (OPM/GOVT-2) requirements, and other applicable regulations.

## **1.6 Rating Officials:**

1.6.1 Must establish a written performance plan for each employee at the beginning of the appraisal period (normally within 30 days) or within 30 days of an employee's assignment to a position or to a set of duties in accordance with the requirements of this NPR.

1.6.2 Must explain to each employee how his/her Program/Project/Functional Objective (PPFO) aligns with and supports the accomplishment of the Agency's goals and objectives.

1.6.3 Are encouraged to provide performance feedback to each employee throughout the appraisal period.

1.6.4 Must conduct and document a midpoint progress review with each employee.

1.6.5 Must appraise each employee at the end of the appraisal period (generally within 30 days) in accordance with the requirements of this NPR.

1.6.6 Shall ensure that subordinate employees are appraised and rewarded fairly and consistently, based on their accomplishments and contributions to achieving the performance goals and objectives of the organization.

1.6.7 Must take appropriate action, with the assistance of the Human Resources Office, to address the performance of any employee that is below the Meets Expectations performance element rating level.

1.6.8 Must, at a minimum, discuss training and development needs with each employee during the progress review and annual appraisal.

1.6.9 Shall, prior to leaving their position before the end of an appraisal period, complete an appraisal for each employee to be given to the employee and to be used by the incoming supervisor.

## **1.7 Reviewing Officials:**

1.7.1 Shall hold Rating Officials accountable for:

1.7.1.1 Completing a performance plan and appraisal for each covered employee in accordance with the requirements of this NPR.

1.7.1.2 Appraising and rewarding employees in a fair and consistent manner across the organization.

1.7.1.3 Taking appropriate and timely action to address the performance of any employee who is performing below the Meets Expectations performance element rating level.

1.7.2 Reviewing and approving the assignment of a performance summary rating of Distinguished, Needs Improvement, or Unacceptable.

1.7.3 Ensuring that, prior to leaving his/her position before the end of the appraisal period, the Rating Official completes an appraisal for each employee to be given to the

employee and to be used by the incoming supervisor.

[TOC](#)	[ChangeLog](#)	[Preface](#)	[Chapter1](#)	[Chapter2](#)	[Chapter3](#)
[Chapter4](#)	[Chapter5](#)	[Chapter6](#)	[Chapter7](#)	[AppendixA](#)	
[AppendixB](#)	[ALL](#)				

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